

NAME SEARCHED: **Butterfly Trust**

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below.

Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	I. RDC Results	No RDC Alert
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. PCR Results	No PCR Alert
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	III. Negative Media	No information found
		IV. Non-Negative Media	Not required
		V. Other Language Media	No information found
D&B	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VI. D&B	information found(Please see attached)
Smartlinx	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	No information found
Court Cases	<input type="checkbox"/> Review by Legal May be Required <input checked="" type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. Court Cases	No information found

Prepared by: Akash kumar gomes Date: 09/30/2016

Research Analyst

Instructions:

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbellhttp://www.martindale.com/xp/Martindale/home.xml](http://www.martindale.com/xp/Martindale/home.xml)
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

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SDNY_GM_00057123

OFAC RESULTS

RDC:

11593418	No Match Found	GCIS 00000486426	 Butterfly Trust	Country:United States
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PCR:

C20160934774293 Butterfly Trust 11985907 NCA customised Closed - No Hit 30/09/2016

BIS RESULTS

Negative Media:

No information found

Non-Negative Media:

Not required

Other Language Media:

No information found

Public Record:

No information found

D&B:

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Worldbase

August 4, 2016

THE BUTTERFLY TRUST

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DB-SDNY-0019948

EFTA_00167692

EFTA01295826

Worldbase, 07/18/2008, IMPERIO REALTY LLC

FORTH HOUSE, 28 RUTLAND SQUARE
EDINBURGH EH1 2BW
SCOTLAND

REGION: EUROPE

***** **COMMUNICATIONS** *****

CABLE TELEX: NNYNNNP

***** **COMPANY IDENTIFIERS** *****

DUNS: 21-032-7290

***** **DESCRIPTION** *****

INVESTMENT ADVICE

***** **MARKET AND INDUSTRY** *****

PRIMARY SIC:

6282 - Investment advisory service

SECONDARY SIC:

6732 - Nonprofit trust management

LOAD-DATE: September 16, 2016

LEGAL RESULTS:

Court Cases:

No information found

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SDNY_GM_00057125

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DB-SDNY-0019949

EFTA_00167693

EFTA01295827